

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1100.156

6/26/89

SUBJ: DELEGATIONS OF AUTHORITY AND OPERATING PROCEDURES - AXR ORGANIZATION

1. PURPOSE. This order outlines the delegations of authority that are required to support the organization and functions of the Executive Director for Regulatory Standards and Compliance.

2. DISTRIBUTION. This order is distributed to the Executive Director for Regulatory Standards and Compliance, AXR-1; to the Associate Administrator for Regulation and Certification, AVR-1; the Associate Administrator for Aviation Standards, AVS-1; to branch level in the Offices of Program and Resource Management, Rulemaking, Civil Aviation Security, Accident Investigation, and Aviation Medicine; to branch level in the Flight Standards Service, the Aircraft Certification Service and the Aviation Standards National Field Office; to all Regional Administrators and staff, and to all Regional Flight Standards, Civil Aviation Security, and Aviation Medicine Divisions, branch level; Aircraft Certification Directorates to the branch level, the Aircraft Certification Staff, Flight Standards Staff, and Civil Aviation Security Staff of the Europe, Africa, and Middle East Office; to the Civil Aviation Security Staff at the FAA Technical Center; and to all Flight Standards, Aircraft Certification, Civil Aviation Security, Aviation Medical, and Flight Inspection field offices and facilities.

3. BACKGROUND. Successful implementation of the changes described in Notice 1100.197, Agency Reorganization, in Order 1100.154, Interim Delegations of Authority, and in the FAA organization orders 1100.2C, Organization - FAA Headquarters, and 1100.5C, FAA Organization - Field, require additional delegations of authority and changes in procedures. Most of these delegations will be fully documented in changes to 1100.1A, 1100.2C, and 1100.5C. Directives, Federal Aviation Regulations (FAR), and other pertinent agency documents containing delegations of authority will be changed or revised as appropriate, as time and resources permit.

4. GENERAL DELEGATIONS AND RESPONSIBILITIES. Authority is hereby delegated to the Associate Administrator for Regulation and Certification and the Associate Administrator for Aviation Standards for complete management responsibility for the programs under their direction and guidance as described below. These delegations and operating procedures apply only to the organizations under my executive direction.

Distribution: A-WXYZ-1; A-X(FS/CS/AM/CD)-3;
A-W(PR/RM/CS/AI/AM/FS/IR/VN)-3
A-Y(CS)-2; A-FFS/FCS/FAC-0 (Wide)
A-FAT-1 (min-medical)

Initiated By: APR-110

a. The Associate Administrator for Regulation and Certification is responsible for directing, coordinating, controlling, and ensuring the adequacy of the substantive aspects of FAA rulemaking actions relating to aviation safety as they pertain to aircraft certification; operational flight procedures; the certification of airmen, air carriers, air agencies, and aircraft; and plans and programs covering competence of airmen, air agencies, and air carriers.

b. The Associate Administrator for Aviation Standards is responsible for directing, coordinating, controlling, and ensuring the adequacy of the substantive aspects of FAA rulemaking actions relating to aviation safety as they pertain to the airmen and aircraft registry; flight procedures and the operation and maintenance of FAA aircraft; investigations in support of the FAA mission, internal security, prevention of aircraft hijacking, aviation sabotage, and related criminal acts against air transportation and intrastate air transportation; the investigation of accidents and incidents, the FAA accident investigation policy, agency management of all matters involving the National Transportation Safety Board; and the policy execution and administrative management aspects of the airmen medical certification, medical research, aeromedical education, medical accident investigation, airmen medical standards, and occupational health programs.

c. The Director of Program and Resource Management, on behalf of the Executive Director for Regulatory Standards and Compliance, AXR-1, the Associate Administrator for Aviation Standards AVS-1, and the Associate Administrator for Regulation and Certification, AVR-1 will provide policy guidance, leadership, and direction to programs of national aviation safety data systems development, evaluation, resource management, and administrative and fiscal management for the AXR organization. APR provides a central point of contact for all GAO matters; and OIG matters except as related to investigation (including working with the program offices for final coordination of reports); program evaluations and audits; budget and fiscal management; human resource management; AXR goals and objectives; and national program development for AXR data and office automation activities.

5. FUNCTIONAL AUTHORITY. Under the provisions of Notice 1100.197, the Associate Administrators assumed line authority for the regional Flight Standards, Civil Aviation Security, and Aviation Medicine program divisions and the Aircraft Certification Directorates. This line authority is hereby redelegated to the office and service directors and the Federal Air Surgeon. This authority shall not be redelegated. In this regard:

a. The Federal Air Surgeon is hereby designated as the reporting official with direct line authority for the regional Aviation Medical Divisions.

b. The Director of Civil Aviation Security is hereby designated as the reporting official with direct line authority for the regional Civil Aviation Security Divisions, the Civil Aviation Security Division at the Mike Monroney Aeronautical Center, and the Civil Aviation Security Staffs of the FAA Technical Center and of the Europe, Africa, and Middle East Office located in Brussels, Belgium.

c. The Director of the Aviation Standards National Field Office is hereby designated as the reporting official with direct line authority for the Airmen and Aircraft Registry located at the Mike Monroney Aeronautical Center.

d. The Director of the Flight Standards Service is hereby designated reporting official with direct line authority for the regional Flight Standards Divisions and the Flight Standards Staff of the Europe, Africa, and Middle East Office located in Brussels, Belgium.

e. The Director, Aircraft Certification Service, (formerly the Office of Airworthiness, AWS-1) is hereby designated as reporting official and has direct line authority for the Aircraft Certification Directorates.

6. DELEGATION PROCEDURES. With respect to line authority operation, the following procedures are effected. All subsequent delegations of authority shall be documented at all levels and a copy of the documentation shall be provided to the Office of Program and Resource Management, attention: Program Management Division, APR-100.

a. Reporting Lines.

(1) Pen and ink changes to the affected regional division and directorate manager's position description should be made in the paragraph titled "Supervision Received" to reflect that he/she reports to the director of the appropriate office or service.

(2) FY 1989 performance standards/appraisals for regional division and directorate managers will be developed in collaboration with the AXR office or service directors and the Federal Air Surgeon, and with input from the regional administrators.

(3) Performance standards/appraisals for the regional assistant division or assistant directorate managers shall be modified to reflect the appropriate director or the Federal Air Surgeon as the second level rating official.

b. Administrative Delegations.

(1) The division or directorate manager or his/her designee is the **Selecting Official** for all regional division and directorate positions. In accordance with Order 3330.28B, Selection of Key Personnel, and Order 3330.1B, Merit Promotion Program, all GM-15 selections shall be

coordinated with the Washington headquarters office or service director or the Federal Air Surgeon. The approving official for all regional division/directorate manager selections is the appropriate associate administrator. These selections will be coordinated with the respective regional administrator.

(2) Approval of exigencies and restoration of lost annual leave. The regional administrators will continue to approve exigencies and restoration of lost annual leave for the straightlined program divisions employees based on the recommendation of the division managers, EXCEPT that exigencies and restoration of leave for division managers require the approval of the appropriate office/service head and the Associate Administrator for Human Resource Management, AHR-1.

(3) Authority is delegated to the regional division or directorate managers to approve claims for reimbursement for expenditures, receipts for cash subvouchers, travel vouchers (including actual expense), orders, and advance of funds for themselves and their employees, including routine operational foreign travel. Non-routine foreign travel must be approved by the appropriate director or the Federal Air Surgeon. Regional division and directorate managers may approve permanent change of station orders for their employees; PCS moves for the division or directorate managers will be approved by the office or service director. Redlegation of this authority may be accomplished in accordance with Order 1500.14A, Travel Manual.

(4) Regional division and directorate managers are delegated the authority to approve lump-sum awards of \$2,000 or less. Approval authority for technical employee suggestions is included in this delegation. Regional division and directorate managers are delegated authority to originate local honorary awards. (Order 3450.7D)

(5) Regional division and directorate managers are authorized to approve overtime and holiday work for their employees. This authority may be redelegated to subordinate managers. (Order 3550.10, Pay Administration. There is no change in present time and attendance reporting procedures.)

(6) Order 4400.42A, Preparation and Approval of Procurement Requests, outlines delegations of authority that exist for the dollar thresholds defined in subparagraphs (a) through (d) of this paragraph. That approval authority also extends to the Statement of Essential Need that must be provided on the procurement request to justify the requested purchase; except that statements of essential need for procurements estimated to cost over \$200,000 must be approved by the Administrator. (Also refer to Order 4405.16, Prenotification Review of Proposed Acquisition and Assistance Actions and Related Matters.) All procurement requests for ADP equipment or service shall be approved in accordance with Order 1370.52B.

- (a) \$25,000 and under - as authorized.
- (b) Over \$25,000 to \$100,000 - branch manager or equivalent.
- (c) Over \$100,000 to \$500,000 - division manager or equivalent.
- (d) Over \$500,000 - office/service director.

(7) Fourth Quarter Spending - Procurement Requests. Any Procurement Request processed after June 30 which contemplates an obligation of funds by September 30 must contain the statement "Approved as necessary for 4th quarter spending." This statement must be approved by the Office or Service Director for procurements of \$5,000 or less, or by the associate administrator for procurements above \$5,000. (THIS IS A WASHINGTON HEADQUARTERS, ONLY, REQUIREMENT.)

(8) Regional division and directorate managers are delegated authority to submit proposals for **opening, closing, consolidating, or relocating field offices and facilities** to the Director of Program and Resource Management, APR-1, through their appropriate office or service director. The recommendation of the regional administrator will be included in the submission. APR will coordinate the proposals and submit for subsequent approvals by the administrator and the secretary.

(9) Regional division and directorate managers are delegated authority to establish and/or change, or authorize minor reductions or recurring seasonal changes in **operating hours** of field facilities. (Order 1100.1A, FAA Organization - Policy and Standards.)

(10) The Director, Aviation Standards National Field Office, is responsible for the overall management of the agency aircraft program as defined in Order 4040.9C, Operation of FAA Aircraft. Regional administrators retain the authority to approve participants in the program.

(11) The Manager, Safety Information and Technology Division, APR-300, is designated as the AXR Information Resource Manager, and is delegated the authorities and responsibilities defined in Order 1370.52B.

c. Communications. Straightlining requires a timely exchange of information between the Washington headquarters and the regional division and directorate managers. Effective communication across regional division and directorate lines and program boundaries must be continued and the regional administrators must be well informed on programmatic changes. Therefore, attitude survey results will be provided to the regional administrator by program division and directorate managers, in order for the regional administrator to effectively perform evaluation/appraisal functions as the administrator's representative.

- (1) **The continuation of Teleconferences** is encouraged.

(2) **Regular program reviews** will be established by the Washington headquarters offices and services; regional administrators will be invited to participate. Regional division and directorate managers will participate in program reviews established by the regional administrators. Division and directorate managers are responsible for keeping their office/service director informed of regional review schedules.

d. **Congressional correspondence** addressed directly to the region, or assigned to the regional administrators by AOA-3, will be signed by the regional administrators in accordance with a special delegation of authority.

e. **Directives Issuance Authorities**. The following delegations are in keeping with the provisions of Order 1320.1C, FAA Directives System, Chapter 2.

(1) **National Directives** shall be issued by the appropriate office/service director, or the Federal Air Surgeon, except that Aircraft Certification directorate managers are delegated authority to issue national directives within their assigned areas of technical responsibility. Any redelegation of change authority to division managers will be specifically identified within the original directive and will only apply to **changes** issued thereto. (Issuance of policy directives is reserved to the Administrator.)

(2) All directives that **cross over another program area** will be elevated in signature authority level, as appropriate.

(3) Internal directives must be coordinated with all affected organizations before issuance.

f. **Support Services**. Support services provided to the organizations, as well as services which we provide to other organizations, will continue until specifically revised. Any new programs and changes to currently planned programs that require additional support resources should be coordinated across organizational boundaries to assess impact prior to proceeding.

g. **Budget**. The following guidance is provided:

(1) For budget execution; Washington office/service directors and regional managers are responsible and will be held accountable for the construction and accomplishment of a financial program that efficiently and effectively utilizes assigned resources to meet agency objectives.

(2) For budget formulation, resource requirements will continue to be developed and submitted through the various budget offices. Modifications to field budget submissions must be initiated and approved by the appropriate regional program division, or directorate manager, and processed through normal channels. These submissions may not be modified

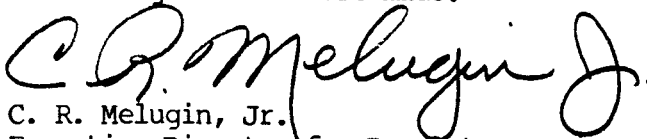
by the Regional Administrators without the concurrence of the appropriate Washington headquarters program director.

(3) The regional budget officers are a valuable resource that should be used in the budget formulation and execution phases, items number one and two above (reference Order 1100.5C, par 242).

(4) For budget adjustments across regional boundaries and/or program boundaries the formal flow of documentation will be accomplished through the headquarters program office to APR-1. APR will serve as the focal point for communications with ABU. ABU will continue their role in providing direction to the regional budget office for exercising the transfer.

(5) The Executive Director for Regulatory Standards and Compliance, together with the Associate Administrator for Regulation and Certification and the Associate Administrator for Aviation Standards and the Director of Program and Resource Management, shall conduct quarterly reviews of the financial status of the AXR programs, review fiscal status, unfunded requirements, approving the movement of resources, and, as necessary, issuing or revising financial guidance to the AXR organization. The office/service directors are responsible for the review of their organization after first offering APR an opportunity to comment on the fiscal status of the organization. To aid AXR, AVR, and AVS in the management of the AXR programs, the Office of Program and Resource Management will publish, on a regularly scheduled basis, a financial status report. The schedule will be established to meet the requirements of the offices/services.

7. CONCLUSION. The realignment of organizational functions is intended to be transparent to the field and industry and will have minimal impact on field operating elements. The major change is the reporting relationship of the regional program divisions and directorates. We will keep headquarters, regional, and directorate personnel informed as refinements to the organization are made.



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Executive Director for Regulatory
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